

**DECLARATION****INVENTORSHIP IDENTIFICATION**

As a below named inventor, I hereby declare that my residence, mailing address and citizenship are as stated below, next to my name. I believe that I am the original, first and sole inventor (*if only one name is listed below*) or an original, first and joint inventor (*if plural names are listed below*) of the subject matter that is claimed, and for which a patent is sought on the invention entitled:

**HEAT SINK FOR A SILICON CONTROLLED RECTIFIER POWER CONTROLLER****TITLE OF INVENTION****SPECIFICATION IDENTIFICATION**

the specification of which:

- (a) ☒ is attached hereto.
- (b) ☐ was filed on \_\_\_\_\_, as ☐ Serial No. \_\_\_\_\_  
☐ and was amended on \_\_\_\_\_ (*if applicable*).
- (c) ☐ was described and claimed in PCT International Application No. \_\_\_\_\_ filed on \_\_\_\_\_  
☐ and was amended on \_\_\_\_\_ (*if applicable*).

**ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR**

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56.

**PRIORITY CLAIMS UNDER 35 U.S.C. § 119(a)-(d)**  
(Prior Foreign/Pct Application(S) Filed Within 12 Months  
(6 Months For Design) Prior To This Application)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate(s) or 365(a) of any PCT international application(s) which designated at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate(s) or any PCT international application(s) having a filing date before that of the application(s) of which priority is claimed.

Application Number	Country or PCT	Date Of Filing (Day, Month, Year)	Priority not Claimed	Certified Copy Attached?
			<input type="checkbox"/>	<input type="checkbox"/> YES <input type="checkbox"/> NO

**CLAIM FOR BENEFIT OF PRIOR U.S. PROVISIONAL APPLICATION(S) UNDER 35 U.S.C. § 119(e)**

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date

**CLAIM FOR BENEFIT OF EARLIER US/PCT APPLICATION(S) UNDER 35 U.S.C. 120**

(All Foreign Application(S), *If Any*, Filed More Than 12 Months  
(6 Months For Design) Prior To This U.S. Application)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or 365(c) PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56, which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application.

U.S Parent Application No.	PCT Parent Application No.	Date Of Filing (Day, Month, Year)	Parent Patent No. (If applicable)

**DECLARATION**

I hereby declare that my presentation of this paper constitutes a certification under 37 C.F.R § 10.18, which provides, in part, that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful statements may jeopardize the validity of the application and any patent issuing therefrom.

## SIGNATURE(S)

## Inventor(s)

<u>Alfred</u> (GIVEN NAME)	<u>R.</u> (MIDDLE INITIAL OR NAME)	<u>Roman</u> FAMILY (OR LAST NAME)
<hr/>		
Inventor's signature	<u>Alfred R. Roman</u>	
Date	<u>28 Sept 02</u>	Country of Citizenship <u>USA</u>
Residence	<u>Hendersonville, TN 37075</u>	
Mailing Address	<u>1415 Shoreside Drive, Hendersonville, TN 37075</u>	

<u>Michael</u> (GIVEN NAME)	<u></u> (MIDDLE INITIAL OR NAME)	<u>Hardy</u> FAMILY (OR LAST NAME)
<hr/>		
Inventor's signature	<u>Michael Hardy</u>	
Date	<u>September 25, 2002</u>	Country of Citizenship <u>USA</u>
Residence	<u>Nashville, TN 37211</u>	
Mailing Address:	<u>5012 Manual Drive, Nashville, TN 37211</u>	

<u>Wayne</u> (GIVEN NAME)	<u></u> (MIDDLE INITIAL OR NAME)	<u>Estes</u> FAMILY (OR LAST NAME)
<hr/>		
Inventor's signature	<u>Wayne A. Estes</u>	
Date	<u>September 25, 2002</u>	Country of Citizenship <u>USA</u>
Residence	<u>Nashville, TN 37216</u>	
Mailing Address:	<u>1206 Richmond Drive, Nashville, TN 37216</u>	

\_\_\_\_\_  
Daniel White  
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)  
Inventor's signature *Daniel A. White*  
Date 9-25-02 Country of Citizenship USA  
Residence Franklin, TN 37064  
Mailing Address: 5910 Greenbriar Road, Franklin, TN 37064

\_\_\_\_\_  
Jerry Black  
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)  
Inventor's signature *Jerry Black*  
Date 09-25-02 Country of Citizenship USA  
Residence Murfreesboro, TN 37129  
Mailing Address: 756 Claude Jones Blvd., Murfreesboro, TN 37129

☐ Signature by administrator(trix), or legal representative for deceased or incapacitated inventor.  
Number of pages added \_\_\_\_\_.

☐ Signature for inventor who refuses to sign or cannot be reached by person authorized under  
37 CFR 1.47. Number of pages added \_\_\_\_\_.

☐ Added page for **signature** by one joint inventor on behalf of deceased inventor(s) where legal  
representative cannot be appointed in time. (37 CFR 1.47) Number of pages added \_\_\_\_\_.

☐ Authorization of attorney(s) to accept and follow instructions from representative.

☒ This declaration ends with this page.



JANUARY 08, 2003

PTAS

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
www.uspto.gov

KIRKPATRICK & LOCKHART LLP  
ROBERT V. RACUNAS, JR., ESQ.  
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\*102240125A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/26/2002

REEL/FRAME: 013338/0517  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

ROMAN, ALFRED R.

DOC DATE: 09/25/2002

ASSIGNOR:

HARDY, MICHAEL

DOC DATE: 09/25/2002

ASSIGNOR:

ESTES, WAYNE

DOC DATE: 09/25/2002

ASSIGNOR:

WHITE, DANIEL

DOC DATE: 09/25/2002

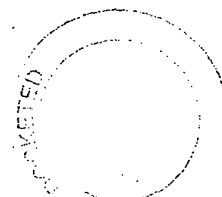
ASSIGNOR:

BLACK, JERRY

DOC DATE: 09/25/2002

ASSIGNEE:

CHROMALOX, INC.  
103 GAMMA DRIVE EXT.  
PITTSBURGH, PENNSYLVANIA 15238



013338/0517 PAGE 2

SERIAL NUMBER: 10255743  
PATENT NUMBER:

FILING DATE: 09/26/2002  
ISSUE DATE:

LAZENA MARTIN, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

9.26.02

10-03-2002

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Form PTO-1595  
(Rev. 03/01)  
OMB No. 0651-0027 (exp. 5/31/2002)  
Tab settings =>>> ▼ ▼



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To the Honorable Commissioner of

shed original documents or copy thereof.

39997 U.S. PRO  
10/255743

1. Name of conveying party(ies):  
**Alfred R. Roman, Michael Hardy, Wayne Estes,  
Daniel White and Jerry Black**

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:  
☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: September 25, 2002, September 25, 2002, September 25, 2002, September 25, 2002 and September 25, 2002

2. Name and address of receiving party(ies)

Name: Chromalox, Inc.

Internal Address: \_\_\_\_\_

Street Address: 103 Gamma Drive Ext.

City: Pittsburgh State: PA Zip: 15238

Additional name(s) and address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: September 25, 2002

A. Patent Application No.(s)

10/255743

B. Patent No.(s)

Additional number(s) attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed.

Name: Robert V. Racunas, Jr., Esq.

Internal Address: Kirkpatrick & Lockhart LLP

Henry W. Oliver Building

Street Address: 535 Smithfield Street

City: Pittsburgh State: PA Zip: 15222-2312

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Robert V. Racunas, Jr.

Name of Person Signing

Robert V. Racunas, Jr.

Signature

9/26/02

Date

Total number of pages including cover sheet, attachments, and documents:

4

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

09/30/2002 VYANG1 00000008 10255743

02 FC:581

40.00 09

Attorney's Docket No. 020503

**PATENT**

For: ☒ U.S. and/or ☒ Foreign Rights  
For: ☒ U.S. Application or  
☐ U.S. Provisional Application  
For: ☐ U.S. Patent  
For: ☐ PCT Application  
By: Multiple Inventors

**ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)**

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

**ASSIGNORS (Inventors):**

Alfred R. Roman  
(type or print name of inventors)

1415 Shoreside Drive  
Hendersonville, TN 37075 USA  
Address Nationality

Michael Hardy

5012 Manual Drive  
Nashville, TN 37211 USA

Wayne Estes

1206 Richmond Drive  
Nashville, TN 37216 USA

Daniel White

5910 Greenbriar Road  
Franklin, TN 37064 USA

Jerry Black

756 Claude Jones Blvd.  
Murfreesboro, TN 37129 USA



hereby sells, assigns and transfers to

ASSIGNEE:

Chromalox, Inc.

(type or print name of ASSIGNEE)

(a Delaware corporation)

Nationality

103 Gamma Drive Ext.

Address

Pittsburgh, PA 15238

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

☒ the entire right, title and interest

☐ an undivided \_\_\_\_\_ percent (\_\_\_\_\_% ) interest for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☒ and in all foreign countries, including all rights to claim priority, in and to any and all improvements which are disclosed in the invention entitled: **HEAT SINK FOR A SILICON CONTROLLED RECTIFIER POWER CONTROLLER**

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in

(a) ☒ U.S. patent application executed on even date herewith

(b) ☐ U.S. patent application executed on \_\_\_\_\_

(c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention

☐ Express mail label no.: \_\_\_\_\_

Mailed: \_\_\_\_\_

☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.

(d) ☐ U.S. application no.: \_\_\_\_\_ filed on \_\_\_\_\_

(e) ☐ International application no. PCT / \_\_\_\_\_ / \_\_\_\_\_  
filed on \_\_\_\_\_

(f) ☐ U.S. patent no. \_\_\_\_\_ issued \_\_\_\_\_

☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this \_\_\_\_\_ Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Alfred R. Roman  
(type name of Inventor)

Alfred R. Roman 25 Sept 02  
Signature of INVENTOR Date

Michael Hardy  
(type name of Inventor)

Michael Hardy Sept 25, 2002  
Signature of INVENTOR Date

Wayne Estes  
(type name of Inventor)

Wayne Estes Sept 25, 2002  
Signature of INVENTOR Date

Daniel White  
(type name of Inventor)

Daniel White 9-25-02  
Signature of INVENTOR Date

Jerry Black  
(type name of Inventor)

Jerry Black 09-25-02  
Signature of INVENTOR Date

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.